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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/716,893	11/18/2003	Gary Edward Peterson	206,270	8694

7590 01/30/2007
Abelman, Frayne & Schwab
150 East 42nd Street
New York, NY 10017

EXAMINER

SHRESTHA, KIRAN K

ART UNIT	PAPER NUMBER
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2109

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	01/30/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary

Application No.

10/716,893

Applicant(s)

PETERSON, GARY EDWARD

Examiner

Kiran K. Shrestha

Art Unit

2109

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 18 November 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 18 November 2003 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: _____

DETAILED ACTION

1. This action is in response to the original filing of Nov. 18, 2003. Claims 1 and 12 are independent claims. Claims 1-20 are pending and have been considered below.

Drawings

2. New corrected drawings in compliance with 37 CFR 1.121(d) are required in this application because figure 4-8 are not clear. Applicant is advised to employ the services of a competent patent draftsman outside the Office, as the U.S. Patent and Trademark Office no longer prepares new drawings. The corrected drawings are required in reply to the Office action to avoid abandonment of the application. The requirement for corrected drawings will not be held in abeyance.

Claim Objections

3. Claims 11 and 20 are objected to because of the following informalities: the use of the trademark such as "MICROSOFT VISIO" has been noted in this claim.

Although the use of trademarks is permissible in patent applications, the proprietary nature of the marks should be respected and every effort made to prevent their use in any manner which might adversely affect their validity as trademarks. Appropriate correction is required.

Claim Rejections - 35 USC § 102

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. Claims 1-20 are rejected under 35 U.S.C. 102(b) as being anticipated by Ram et al. (US 2003/0009411 A1).

Claim 1: Ram discloses an interactive risk management system comprising:

- a) computer system (page 1, paragraph [0011], line 2).
- b) displaying a GUI with browser (page 3, paragraph [0043], lines 3-4).
- c) storing a mapping of a plurality of processes in the memory (page 5, paragraph [0077], lines 3-8).
- d) displaying to user using browser mapping of the plurality of processes associated actuatable display region (page 15, paragraph [0277], lines 1-8).
- e) displaying in response to the user actuation, at least one risk message associated with the selected process which will allow user to gain information and any associated risk (page 1, paragraph [0013], lines 1-9).

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Claim 2: Ram discloses the interactive risk management system of claim 1, communicating via the computer network to access and view the mapping & actuate the actuatable display regions with at least one risk message (page 1, paragraph [0013], lines 1-9 and paragraph [0020], lines 1-4).

Claim 3: Ram discloses the interactive risk management system of claim 2, computer network is an intranet (page 18, paragraph [00371], lines 1-4).

Claim 4: Ram discloses the interactive risk management system of claim 2, computer network is the Internet (page 2, paragraph [0013], lines 1-4)

Claim 5: Ram discloses the interactive risk management system of claim 1,

a) associating the actuatable display regions are associated with link data addressing linkable data stored in the memory (page 19, paragraph [0383], lines 1-8).

b) responding to actuation of a selective actuatable display region, communicates with the memory via a respective link data to retrieve the corresponding linkable data (page 14, paragraph [0266], lines 4-6).

Claim 6: Ram discloses the interactive risk management system of claim 5, link data is a hyperlink (page 19, paragraph [0383], lines 3-8).

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Claim 7: Ram discloses the interactive risk management system of claim 1, operates mapping software to display the mapping and the plurality of processes as graphical representations on the display (page 15, paragraph [0281], lines 2-7).

Claim 8: Ram discloses the interactive risk management system of claim 7, mapping software displays a graphical stop sign image on the display to indicate risk information available to the user (page 29, paragraph [0546], lines 2-6).

Claim 9: Ram discloses the interactive risk management system of claim 7, mapping software displays the processes in a multi-dimensional format (page 9, paragraph [0161], lines 1-3).

Claim 10: Ram discloses the interactive risk management system of claim 7, mapping software displays subsets of the plurality of processes in a plurality of horizontal tracks, with the horizontal tracks oriented one above the other vertically (page 6, paragraph [0103], lines 1-4).

Claim 11: Ram discloses the interactive risk management system of claim 7, mapping software is MICROSOFT VISIO graphics software (page 10, paragraph [0169], line 7).

Claim 12: Ram discloses an interactive risk management method comprising:

- a) computer system (page 1, paragraph [0011], line 2).
- b) displaying a GUI with browser (page 3, paragraph [0043], lines 3-4).

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- c) storing a mapping of a plurality of processes in the memory (page 5, paragraph [0077], lines 3-8).
- d) storing at least one risk message associated with at least one of the plurality of processes in the memory (page 14, paragraph [00266], lines 4-6).
- e) receiving at the processor user command signals entered through the input device (page 14, paragraph [0113], lines 1-4).
- f) displaying to user using browser mapping of the plurality of processes associated actuatable display region (page 15, paragraph [0277], lines 1-8).
- g) receiving at the processor signals corresponding to user actuation of an actuatable display region of a selected process (page 30, paragraph [0552], lines 1-4).
- h) displaying in response to the user actuation, at least one risk message associated with the selected process which will allow user to gain information and any associated risk (page 1, paragraph [0013], lines 1-9).

Claim 13: Ram discloses the interactive risk management method of claim 12, communicating via the computer network to access and view the mapping & actuate the actuatable display regions with at least one risk message (page 1, paragraph [0013], lines 1-9 and paragraph [0020], lines 1-4).

Claim 14: Ram discloses the interactive risk management method of claim 13, computer network is an intranet (page 18, paragraph [00371], lines 1-4).

Claim 15: Ram discloses interactive risk management method of claim 13, computer network is the Internet (page 2, paragraph [0013], lines 1-4)

Claim 16: Ram discloses the interactive risk management method of claim 12,

- a) associating the actuatable display regions are associated with link data addressing linkable data stored in the memory (page 19, paragraph [0383], lines 1-8)
- b) responding to actuation of a selective actuatable display region, communicates with the memory via a respective link data to retrieve the corresponding linkable data (page 14, paragraph [0266], lines 4-6)

Claim 17: Ram discloses the interactive risk management method of claim 16, link data is a hyperlink (page 19, paragraph [0383], lines 3-8).

Claim 18: Ram discloses the interactive risk management method of claim 12, operates mapping software to display the mapping and the plurality of processes as graphical representations on the display (page 15, paragraph [0281], lines 2-7).

Claim 19: Ram discloses the interactive risk management method of claim 18, mapping software displays subsets of the plurality of processes in a plurality of horizontal tracks, with the horizontal tracks oriented one above the other vertically (page 6, paragraph [0103], lines 1-4).

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Claim 20: Ram discloses the interactive risk management method of claim 18, mapping software is MICROSOFT VISIO graphics software (page 10, paragraph [0169], line 7).

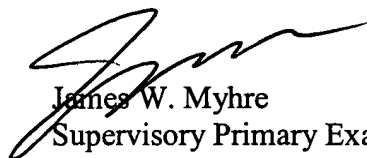
Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Exr. Kiran K. Shrestha whose telephone number is (571) 270-1691. The examiner can normally be reached Monday through Thursday from 7:00 a.m. to 4:30 p.m.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James W. Myhre, can be reached on (571) 270-1065. The fax phone number for Formal or Official faxes to Technology Center 2100 is (571) 273-3800. Draft or Informal faxes, which will not be entered in the application, may be submitted directly to the examiner at (571) 273-6722.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group Receptionist whose telephone number is (571) 272-3600.

K.S.
KKS
January 23, 2007


James W. Myhre
Supervisory Primary Examiner